



Premium Finance License Renewal

Instructions

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Time Sensitive

This information affects the accurate and timely renewing of your license.

This document provides instructions for the completion of the Premium Finance Company Application for License Renewal. In order to avoid the return of your renewal application; please adhere to these instructions when completing the renewal form.

A.R.S. Section 6-1402(E) requires that this Department must receive the completed renewal documents and fee not later than December 31, 2007. Because the renewal deadline falls within a holiday season, please take steps to insure your renewal is submitted timely. **There is no grace period for late filing**. Renewals that are postmarked on or before December 31, but received after that date will not be renewed.

Complete all forms and return them with your check payable to the Arizona Department of Financial Institutions or AZDFI in the amount of three hundred dollars **(\$300.00)**. Mail the completed forms and appropriate fee to: Arizona Department of Financial Institutions, Licensing Division at 2910 North 44th Street, Suite 310 Phoenix, AZ 85018.

Retain a photocopy of the completed forms for your records. The Department cannot provide a copy for you.

Premium Finance Company License Renewal Application – This document must be completed in its entirety. **Each question on the renewal form must be answered**. If a question is not applicable, you must enter “N/A.” Responses such as “Same” or “Same as last year,” “No Change,” or similar answers are unacceptable. No forms other than the enclosed are acceptable for renewal. Have this form signed and notarized.

Order Now: Licensees must provide, with their renewal, a “current” (September 1st, 2007 or newer) Certificate of Good Standing from the Arizona Corporation Commission (“ACC”). Contact the ACC Corporate Records Section @ (602) 542-3026 or toll free within Arizona @ (800) 345-5819, or via website @ www.cc.state.az.us. If the licensee is domiciled in another state you must also provide a “current” (September 1st, 2007 or newer) Certificate of Good Standing from the state in which you are incorporated.

Premium Finance Pre-Renewal Requirements – This document provides instruction for any changes that may have occurred during the license year that were not previously reported to the Superintendent. Please review this document and **submit all applicable information to this Department**.

Premium Finance Company Annual Report: Arizona Revised Statutes Section 6-1408 requires each licensee to file this report **on or before February 1, annually**. The annual report concerns your business and operations during the preceding calendar year (December 31, 2007). The Department may extend (upon good cause) the due date for submission of the annual report for a period not to exceed sixty (60) days (April 1, 2008). If an extension of time is required, the licensee must submit a written request stating the reason(s) an extension is necessary. The request should be directed to **the Licensing Division**. If an extension of time is not requested or not granted by the Department, a civil money penalty of \$25.00 per day will be assessed for each day the annual report is not timely submitted. **The annual report is due on February 1, 2008, unless the Superintendent grants a written extension.** Visit: http://azdfi.gov/Licensing/Forms/PF_Annual_Report.pdf to download this report.



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Legibly Print Or Type All Information - Do not leave any blanks

There must be an answer provided for each inquiry therefore, if not applicable use "None" or "N/A"

Do not add attachments in lieu of completing our form.

1. Principal Primary Licensed Location:

Company Name:			License #: PF-
Doing Business As:			
E-Mail Address:			
Physical Address:			
City:		State:	Zip Code:
Telephone Number:	FAX Number:	Tax ID Number:	Fiscal Year End MO / DAY

2. Mailing Address if different from the above:

Physical Address:		E-Mail Address:	
City:	State:	Zip Code:	FAX Number:

3. Corporate Address if different from number 1 above:

Company Name:			
Physical Address:		E-Mail Address:	
City:	State:	Zip Code:	
Telephone Number:	FAX Number:		

4. Current Ownership. If applicant is owned by an entity, provide the name of the entity and its corporate financials. If owned by individuals, provide the names and percentage owned of each person. List additional owners on a separate sheet.

Name	Title	% Owner
Ownership Must total 100%		%

5. Control. List all persons who have the power to vote more than twenty percent of outstanding voting shares of the licensed corporation.

Name	Title	% of outstanding voting shares

6. List the top 5 officers and directors of the licensee:

a.	Officer Title	Name	Direct Business Telephone Number	Date Assumed Office	Years of Experience in this Business
				MO / DAY / YEAR	
				MO / DAY / YEAR	
				MO / DAY / YEAR	
				MO / DAY / YEAR	
				MO / DAY / YEAR	



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7. Since the license was issued (1/01/07 to 12/31/07) or since the last renewal (12/31/06) has the licensee or any owner, officer, director or partner thereof: **If you answer "Yes" to any of these questions you must attach the appropriate paperwork (description & final disposition)**

a. been convicted of a criminal offense other than minor traffic violations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. been sued in a civil action?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c. had a final judgment issued against him/her?	<input type="checkbox"/> Yes <input type="checkbox"/> No
d. filed bankruptcy?	<input type="checkbox"/> Yes <input type="checkbox"/> No
e. had an order entered against him/her been indicted, been informed against or found guilty by an administrative agency of this state, the Federal government or any other state or territory of the United States?	<input type="checkbox"/> Yes <input type="checkbox"/> No

8. List all occupational or professional licenses the licensee, any owner, officer, director, AM or partner holds or has held, which have been refused, denied, revoked or suspended by any State or the Federal Government **since the license was issued** (01/01/2007 to 12/31/2007) or since the last renewal (12/31/2006). Attach copies of full disclosure. Write "None" or "NA" if not applicable.

a. Name on License	Type of License	Issue Date	Expiration Date
Name of Licensing Agency	Type of Action	MC/DAY/YEAR	MC/DAY/YEAR
b. Name on License	Type of License	Issue Date	Expiration Date
Name of Licensing Agency	Type of Action	MC/DAY/YEAR	MC/DAY/YEAR
c. Name on License	Type of License	Issue Date	Expiration Date
Name of Licensing Agency	Type of Action	MC/DAY/YEAR	MC/DAY/YEAR
d.. Name on License	Type of License	Issue Date	Expiration Date
Name of Licensing Agency	Type of Action	MC/DAY/YEAR	MC/DAY/YEAR

9. Has the licensee at all times since being licensed maintained a minimum of \$25,000.00 in liquid assets?

☐ Yes ☐ No IF not, provide a written explanation as to why not.

10. Organizational Ownership Chart: (including holding company with subsidiaries)

Have you included an organizational chart? ☐ Yes ☐ Not applicable

11. Arizona – Certificate of Good Standing:

Have you attached the Certificate of Good Standing with this renewal?

☐ Yes ☐ No

12. State of Domicile - Certificate of Good Standing:

Have you attached the Certificate of Good Standing with this renewal? Do not hold up filing the renewal application because you are waiting for this Certificate.

☐ Yes ☐ No If No, provide date when this department can expect it to be provided.

13. Before packaging this renewal to submit are all the following items Complete, Accurate, Attached & Enclosed?

- ☐ Legibly print or type all answers
- ☐ Answer ALL blanks, questions or statements AND if not applicable with "N/A"
- ☐ Arizona – Certificate of Good Standing:
- ☐ Financial Statement
- ☐ Application signed by an Officer of the Licensee & is it Notarized and includes the notary seal/stamp
- ☐ Made and kept copies for your records and or to amend if needed
- ☐ Enclose the renewal fee

AND if applicable, the following:

- ☐ Properly labeled all attachments to correspond with the applicable application numbers (full disclosure / description & final disposition documents)
- ☐ State of Domicile - Certificate of Good Standing:
- ☐ Enclose ownership **Organizational Chart** including holding company with subsidiaries

SUBMIT:

☐ **Made payable to:** Arizona Department of Financial Institutions or AZDFI

☐ **And Remit To:** Attention: Licensing Division
2910 N. 44th Street, Suite 310
Phoenix, AZ 85018



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14. License Compliance Officer to whom inquiries on deficient renewal application can be directed.

Name:	Title:	E-Mail Address:		
Direct Telephone Number & Extension:		FAX Number:		
Business Address:		City:	State:	Zip Code:

15. **AFFIDAVIT: Signing Officer must have previously submitted a personal history statement and fingerprint card to the department to be eligible to sign this Affidavit. If you are not certain,** than have the officer who signs this Affidavit submit both the above two items along with a \$24 fingerprint processing fee. To acquire the necessary forms from our webpage at azdfi.gov click Licensing download the Premium Finance Application and order the fingerprint card from this location.

Affidavit - Must be signed by an officer of the Licensee and notarized.

STATE OF _____

ss

COUNTY OF _____

I (print signing officers' name) _____ being duly sworn, depose and say that I have signed the foregoing application as (print officers' title) _____ of the above named applicant, having full authority to sign such application in said capacity; that I have read said application and that the information contained therein is true.

Date _____ (Officers' Signature) _____

Subscribed and sworn to before me this _____ day of _____ 20 ____

My Commission Expires _____ (Notary Public Signature) _____



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PREMIUM FINANCE PRE-RENEWAL REQUIREMENTS

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The Superintendent is to be provided notice when any of the changes listed below occur. If any of the following has taken place during this current license year and the Superintendent has not been notified, please submit the information to the Department.

A. Name Change – If your premium finance company has changed its name please submit the following to the Department:

1. A letter advising the Superintendent that the licensee has changed its name and the effective date of the name change.
2. The original principal and branch office license(s).
3. An amendment to the Articles of Incorporation or Partnership Agreement as applicable, reflecting the name change.
4. Original bond rider reflecting the new name.
5. A check payable to the Arizona Department of Financial Institutions for \$250.00 per license. (Principal and all branch locations in Arizona.)

B. Trade Name – If your premium finance company began conducting business under a trade name, you must submit the following to the Department:

1. A letter advising the Superintendent that the licensee has added a trade name and the effective date of the change.
2. The original principal and branch office license(s).
3. A copy of the trade name certificate authorizing the use of the name.
4. Original bond rider reflecting the addition of the trade name.
5. A \$250.00 name change fee for each license to be changed.

C. Address Change – A.R.S. Section 6-1407 requires that the Superintendent be notified of any change of address. If the address of any Arizona licensed location has changed you must submit the following to the Department:

1. A letter listing the Arizona offices that have changed locations. The list should include the license number of the specific locations that have moved and the effective date of the change.
2. The original principal and branch office license(s) as applicable.
3. A check payable to the Arizona Department of Financial Institutions for \$50.00 for each licensed location change.

D. Change of Officers – If there has been any change in officer, director, partners or managers. If such change has occurred, you must submit the following to the Department:

1. A letter listing the name of each person and the capacity in which he/she serves. Also, include the effective date of the change.
2. Completed Personal History Form for each new person. (**NOTE:** A credit report will be obtained on the new person. If the report reflects any derogatory credit, the individual will also be required to provide a letter of explanation.)
3. Fingerprint card for each new person.
4. Copy of the amendment to the Articles of Incorporation, Partnership Agreement or other governing documents reflecting the change(s).
5. A check payable to the Arizona Department of Financial Institutions for \$24.00 for each fingerprint card.

E. Change of Control – A.R.S. Section 6-1402(F) requires prior approval of the Superintendent for change of control of a licensee of 20% or more. If a change of control (20% or more) occurred, the following must be submitted to the Department:

1. A letter detailing the change of control.
2. A copy of the governing documents reflecting the change of control.

NOTE: Additional information may be required as determined by the Superintendent. After submission of the two items listed above, you will be notified if additional information is required.

Internet Access: The Department's website can be found at www.azdfi.gov The site contains a list of all licensees. It is updated daily and provides links to the Arizona Revised Statutes and the Arizona Administrative Code. We encourage you to visit our site and use the information available.